

FORM PTO-1390
(REV 10-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

P 000078US/2369NP

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/018708

INTERNATIONAL APPLICATION NO.

PCT/JP00/03899

INTERNATIONAL FILING DATE

15 June 2000 (15.06.00)

PRIORITY DATE CLAIMED

15 June 1999 (15.06.99)

TITLE OF INVENTION

**TABLE OF WAFER POLISHING APPARATUS, METHOD FOR POLISHING SEMICONDUCTOR
WAFER, AND METHOD FOR MANUFACTURING SEMICONDUCTOR WAFER**

APPLICANT(S) FOR DO/EO/US

Yuji OKUDA, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)).
4. ☒ The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau)
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. (c)(3)).
9. ☒ An Oath or Declaration of the inventor(s) (35 U.S.C. (c)(4)). **Unexecuted**
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 16 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** Preliminary Amendment.
☐ A **SECOND** or **SUBSEQUENT** Preliminary Amendment.
14. ☐ A substitute specification.
15. ☐ A change of Power of Attorney and/or address letter.
16. ☐ Other items or information:

U.S. APPLICATION NO. (If known, see 37 CFR 1.53)

INTERNATIONAL APPLICATION NO.

AT Docket Number

10/018708

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P3P2000078US/2369NP

17. ☒ The following fees are submitted**BASIC NATIONAL FEE (37 CFR 1.482)**

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$1,040.00
and International Search Report not prepared by the EPO or JPO

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO \$ 890.00

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO. . \$ 740.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)
but all claims did not satisfy provisions of PCT Article 33 (1)-(4). \$ 710.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)
and all claims satisfied provisions of PCT Article 33 (1)-(4) \$ 100.00

ENTER APPROPRIATE BASIC FEE AMOUNT

CALCULATIONS

PTO USE ONLY

\$ 890.00

Surcharge of \$130.00 for furnishing the Oath or Declaration later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

CLAIMS

NUMBER FILED

NUMBER EXTRA

RATE

\$

Total Claims

37 - 20

17

x 18.00

\$ 306.00

Independent Claims

6 - 3

3

x 84.00

\$ 252.00

MULTIPLE DEPENDENT CLAIM(S) (if applicable)

+ 280.00

\$ 280.00

TOTAL OF ABOVE CALCULATIONS =

\$ 1,448.00

☐ Applicant claims Small Entity Status. See 37 CFR 1.27. Fees reduced by 50%.

\$

SUBTOTAL =

\$ 1,448.00

Surcharge of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE =

\$ 1,448.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property. +

\$

TOTAL FEES ENCLOSED =

\$ 1,448.00

Amount to be
refunded:

\$

charged:

\$

- a. ☐ Check No. 3902 in the amount of \$ 1,448.00 for payment of the above fees is enclosed.
- b. ☐ Please charge Deposit Account No. _____ in the amount of \$XXX.00 for payment of the above fees.
A duplicate of this sheet is attached.
- c. ☐ The Commissioner is hereby authorized to charge any fees or credit any overpayment associated with this
communication to Deposit Account 02-2120 (Sawyer Law Group LLP).

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or
(b) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Joseph A. Sawyer, Jr.
Sawyer Law Group LLP
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Palo Alto, California 94303
US

Joseph A. Sawyer, Jr., Reg. No. 36,801

12/13/01

Date